

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Children and Families

[Program Announcement No. ACF/ACYF/HS-URP&RS 98-1]

Fiscal Year 1998 Discretionary Announcement for University-Head Start Partnerships Research Projects and Head Start Research Scholars; Availability of Funds and Request for Applications.

AGENCY: Administration on Children, Youth and Families (ACYF),
Administration for Children and Families (ACF), DHHS.

ACTION: Announcement of the availability of funds and request for applications for research by university faculty and doctoral-level graduate students in partnership with Head Start programs.

SUMMARY: The Administration for Children and Families (ACF), Administration on Children, Youth and Families (ACYF) announces the availability of funds for University-Head Start Partnerships and Head Start Research Scholars to support research activities in the areas of infant and toddler development within the cultural context, the promotion of mental health in Head Start and Early Head Start, or field-initiated research areas which will increase our knowledge of low-income children's development for the purpose of improving services or have significant policy implications.

DATES: The closing time and date for receipt of applications is 5:00 p.m. (Eastern Time Zone) May 5, 1998. Applications received after 5:00 p.m. will be classified as late.

ADDRESS: Mail applications to:
ACYF Operations Center
1225 Jefferson Davis Highway
Suite 415
Arlington, Virginia 22202
HAND DELIVERED, COURIER OR OVERNIGHT DELIVERY
applications are accepted during the normal working hours of 8:00 a.m. to 5:00 p.m., Monday through Friday, on or prior to the established closing date.

All packages should be clearly labeled as follows:
Application for Head Start Discretionary Research:
(University-Head Start Partnerships [Priority Area:
1.01] or Head Start Research Scholars [Priority Area:
1.02])

FOR FURTHER INFORMATION CONTACT: The Head Start Research Support Technical Assistance Team (703 218-2480), is available to answer questions regarding application requirements and to refer you to the appropriate contact person in ACYF for programmatic questions. You may e-mail your questions to:
hsresearch@dakota-tech.com.

In order to determine the number of expert reviewers that will be necessary, if you are going to submit an application, you must send a post card or call with the following information: the name, address, telephone and fax number, and e-mail address of the principal investigator and the name of the university at least four weeks prior to the submission deadline date to:

Administration on Children, Youth and Families
Head Start Research
11320 Random Hills Road, Suite 105
Fairfax, Virginia 22030

PART I. PURPOSE AND BACKGROUND

A. Purpose:

The purposes of this announcement is to (1) support research conducted by university faculty or doctoral-level graduate students who form partnerships with Head Start or Early Head Start programs in their communities to improve the quality and effectiveness of Head Start/Early Head Start services and the services of other early intervention programs through the acquisition of new knowledge or to test the application of theory driven interventions with proven effectiveness with other populations or in other settings in Head Start/Early Head Start programs; and (2) to broaden the base of researchers who enter into partnerships with Head Start programs for the conduct of research for the benefit of all low-income children from the prenatal period through age five. Priority Area 1.01, University-Head Start Partnerships provides support to Universities on behalf of faculty members. Priority Area 1.02, Head Start Research Scholars, provides support to universities on behalf of doctoral-level graduate students.

B. Background:

An important part of Head Start's mission is to serve as a national laboratory for expanding our knowledge in the field of child development by pursuing inquiries in areas where very little knowledge exists. It includes the exploration of pathways to optimal child development, testing hypotheses, integrating the research from other fields, populations or settings into interventions for at-risk

children, and disseminating research findings for the purpose of improving services for low-income children and their families. In order to accomplish that mission, Head Start supports and encourages partnerships between universities and Head Start programs (including Early Head Start). As a national laboratory, Head Start provides unique opportunities for researchers, program staff and participating families. For researchers, Head Start provides access to a highly diverse population where research can be conducted in natural settings. By including program staff and families as part of the research team, researchers are able to validate their methods, measures and findings on a low-income culturally diverse population through a collaborative process with these research partners. Program staff and families have an opportunity to learn about research, how to interpret it and how it can be useful in improving practices and services. It is also an opportunity for learning research skills as members of the research team.

In fiscal year 1995 Head Start initiated a new program, Early Head Start, which serves children and their families from the prenatal period to age three. Prior to this time, most of the research conducted with this age group did not include large samples of low-income children. Therefore, in fiscal year 1996, the Head Start-University Partnerships and Head Start Research Scholars announcement contained new opportunities to conduct research with this younger age group. Presently, there are 175 Early Head Start programs. Of these, 17 are participating in both the national research study and local research studies. **These 17 sites are not eligible for partnerships under priority area 1.01 in this announcement.** However, partnerships may be formed with the other 158 Early Head Start sites that are presently funded by Head Start or any Head Start program that serves preschool children. For the purposes of this announcement, any further reference to Head Start is meant to include both Head Start and Early Head Start.

Major research issues for Head Start include (1) increasing our knowledge of low-income infant and toddler development in the cultural context and how those developmental pathways may vary as a function of culture, and (2) improvement in quality of services in mental health through the application of state-of-the-art techniques that have evolved from advanced theoretical concepts and new research findings. It also involves the conduct of new research to ensure that Head Start knowledge and services remain at the cutting edge.

Infant and Toddler Development in the Cultural Context

In the last two decades, the population of the United States has become increasingly culturally diverse. The need for culturally and developmentally appropriate services has far outstripped our knowledge and understanding of how culture affects the developmental pathways of low-income infants and toddlers and whether the generally accepted notions of developmentally appropriate practices in the mainstream culture also apply to other cultural groups. Although cross-cultural studies have shed some light on the effects of different parenting values and practices on children's development, generally these studies were undertaken in the countries of origin within which populations were often more homogeneous. ACYF is interested in encouraging research on the influences of culture on child development. Although cross-cultural studies within the United States would be desirable, ACYF recognizes that the funding level of the awards under this announcement will only permit the study of one or two cultural groups in order to maintain reasonable sample sizes. However, studies of even one cultural group will make an important contribution to the field and to improving services to very young children and their families. Examples of questions on which little information exists include:

- o What is normative child development within the cultural group?
- o How are developmental pathways affected by parenting values of the culture and childrearing practices?
- o What child attributes are enhanced or restricted by childrearing practices and beliefs of the culture?
- o How does the gender of the child mediate or moderate parenting practices within the culture?
- o How does the "conventional wisdom" in the United States on developmentally appropriate practices compliment or conflict with childrearing values and practices of the cultures?
- o For immigrants, how are childrearing practices and developmental pathways affected by "generational" differences?

The questions listed above are meant to be illustrative of possible questions for studies under this area. Applicants are encouraged to generate questions for study which they theorize are important at this stage of our knowledge instead of, or in addition to, the ones listed above.

Mental Health in Head Start

Along with pediatric primary health care providers, Head Start, as a comprehensive service delivery program, serves as one of the earliest mechanisms for identification and intervention with a vulnerable population of young low-income children and their families. Whether one advocates the importance of early identification and treatment of "at-risk" children or children with actual manifestations of emotional and/or behavioral difficulties, or one stresses the fundamental importance of promoting "wellness" via preventive intervention approaches, it is clear that Head Start plays a crucial role in any such discussion. Based upon a recent review of the research literature, there are key gaps in the extant knowledge base that call for additional research in this area.

First, there is the need to improve the understanding of the identification of early onset mental, emotional or behavioral disabilities in this low-income population of young children as a whole in comparison to the rates of identification of disabilities (which include mental health problems) in Head Start programs.

There also is the need to expand the understanding of the trajectories of social and emotional development in very young, low-income children, including a better understanding of the prevalence of risk and protective factors. This is especially the case given the overarching context of dramatic increases in the frequency, intensity and severity of exposure to risk factors (e.g., community violence, substance abuse, physical and sexual abuse, neglect, etc.) for young children growing up in poverty.

Head Start programs are the point of entry for low-income children into community service delivery networks. Head Start programs, within the context of the larger network of other community service providers, can be organized to promote efficient, accurate, and high quality screening, assessment, intervention and/or referral, as necessary. The proactive universal screening of all enrolled children, that is required by Head Start Performance Standards, is one of the best mechanisms for ensuring the earliest detection of difficulties.

However, the effectiveness of such an approach undoubtedly will be a function of certain key programmatic indicators of quality mental health service provision, such as the use of on-site mental health professionals (versus outside mental health professionals and/or consultants), high ratios of mental health professional staff to children served, adequate educational/professional training of mental health

staff, and strong, established collaborative relationships with relevant community mental health providers, as well as involvement of families and staff in the development and implementation of services that are appropriate and acceptable to the families and communities they serve. Mental health is defined broadly as "promoting the healthy emotional development of children, supporting family strengths, identifying early signs of emotional and behavioral difficulties, and assisting families with special needs" (Yoshikawa and Knitzer, 1997). This definition incorporates a balanced emphasis that includes prevention as a cornerstone of early intervention efforts. While the primary focus is on the child, this ecological approach acknowledges the importance of addressing the mental health needs of the parents and staff, as well. Within this priority area, ACYF is interested in funding research projects that will generate new knowledge that will advance our current level of understanding and that will facilitate efforts to improve the capacity of Head Start and related early childhood programs to deliver high quality, comprehensive, developmentally appropriate, prevention and intervention services to support the mental health of Head Start and other young children, families and staff, across the country.

Field-Initiated Research

One of the purposes of this announcement is to ensure that state-of-the-art research that is being conducted across relevant disciplines and in other settings and with other populations is brought to the benefit of Head Start and other programs for low-income young children. This research must have as its focus one of the domains of child development (including health and mental health) or public policy issues which have major implications for low-income children. In addition to various subdisciplines within psychology, applications are encouraged from other disciplines such as sociology, anthropology, the health professions (including public health) and public policy. The proposed research must have already been, or is in the process of being, conducted in other settings or on other populations and has never been demonstrated or conducted with a Head Start population. As a comprehensive program with a wide array of services, Head Start can benefit from the participation of researchers from other disciplines who have not usually engaged in research with Head Start populations.

The research under this announcement may be either quantitative, qualitative or both. For quantitative studies, classical experimental designs are not required

unless the particular questions under consideration dictate a classical design. For qualitative studies, only the more sophisticated techniques, such as ethnography must be used.

PART II PRIORITY AREAS

Statutory Authority

The Head Start Act, as amended, 42 U.S.C. 9801 et seq.

1.01 University-Head Start Partnerships

Eligible Applicants: Universities and four-year colleges on behalf of a faculty member who holds a doctorate degree or equivalent in their respective field.

Planning Grants: The first year of the awards under this announcements are for planning grants which are to be used for piloting the instruments and or interventions to be delivered and to establish relationships with the Head Start research partners. Non-competitive awards in subsequent years are contingent upon an approved ready-to-be-implemented research design at the end of the first year and the availability of funds. The applicant should still submit a full project description containing the information below under the Competitive Criteria and General Instructions for Priority areas 1.01 and 1.02 in order for the application to be judged against the criteria.

Additional Requirements:

- o The principal investigator must have a doctorate or equivalent degree in the respective field, conduct research as a primary professional responsibility, and have published or have been accepted for publication in the major peer-review journals in the field as a first author.
- o The applicant must apply the University's off-campus research rates for indirect costs.
- o The applicant must enter into a partnership with a Head Start or Early Head Start program for the purposes of conducting the research.
- o The application must contain a letter from the Head Start or Early Head Start program certifying that they have entered into a partnership with the applicant and the application has been reviewed and approved by the Policy Council.
- o The principal investigator must agree to attend two meetings of the research grantees each year including Head Start's Fifth National Research Conference in June of 2000. The budget should reflect travel funds for such purposes.
- o Applicants who apply for research in mental health must agree to become part of the ACYF-NIMH consortium that was established in fiscal year 1997 and attend two meetings of

the consortium in addition to the meetings listed above. These meetings should be reflected in the budget.

o Contact information, including an e-mail address, for the principal investigator must be included in the proposal.

Project Duration: The announcement for priority area 1.01 is soliciting applications for project periods of three years with the first year as a planning year. However, requests for project periods of four or five years will be considered if the applicant can make a strong justification for the need for the longer project period in order to complete the research. It should be noted that the requests for longer project periods will be granted in only rare instances. Awards, on a competitive basis, will be for the first one-year planning budget period. Applications for continuation grants funded under these awards beyond the one-year budget period, but within the established project period, will be entertained in subsequent years on a non-competitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the Government.

Federal Share of Project Costs: The maximum Federal share is \$75,000 for the first 12-month budget period. The Federal share for subsequent years shall be approximately \$150,000 per year for each year of the project period. The Federal share is inclusive of indirect costs.

Matching Requirement: There is no matching requirement.

Anticipated Number of Projects to be Funded: It is anticipated that 6-8 projects will be funded.

1.02 Support for Graduate Students: The Head Start Research Scholars Program

Eligible Applicants: Institutions of higher education on behalf of qualified doctoral candidates who have completed their masters degree or equivalent and are enrolled in the sponsoring institution. To be eligible to administer the grant on behalf of the student, the institution must be fully accredited by one of the regional accrediting commissions recognized by the Department of Education and the Council on Post-Secondary Accreditation. In addition, the specific graduate student on whose behalf the application is made must be identified and any resultant grant award is not transferable to another student. Funds from this grant may not be used to make any payments to other students at the university.

Purpose: To provide support for graduate students to encourage the conduct of research with Head Start populations which will contribute to the knowledge base for improving services for Head Start children and families.

Background and Information: A large body of literature exists on the early years of the Head Start program. A significant number of these studies are dissertations and other research conducted by graduate students. Many of these graduate students continued to make significant contributions to Head Start as they pursued their careers. As Head Start has continued to grow, its population has become more diverse and societal problems have become more complex. In order to meet the challenges Head Start faces today, it is more than ever in need of the information that only sophisticated research conducted by well trained researchers can provide. Therefore, as part of a research capacity building effort, Head Start is interested in supporting doctorate-level graduate students with diverse backgrounds and from diverse fields to conduct research in Head Start programs. A new generation of Head Start research is needed that recognizes the great diversity among Head Start programs and the populations which it serves. Although Head Start delivers a core set of services which are defined by the Head Start Program Performance Standards, there is wide variability across programs in terms of the methods by which these services are delivered. Within programs, moreover, children and families vary in their levels of functioning, ethnicity and other variables which interact with program interventions. The Head Start population offers a unique opportunity for research which will contribute to understanding the differences in this diverse population and how to effectively tailor services and interventions for children and families with different characteristics. Research is needed on the particular learning styles, the cognitive and social development, and the developmental trajectories of children as well as on indicators of family functioning as they are manifested in specific cultural and/or linguistic groups, children with specific disabilities, and families at different levels of functioning. In addition, suitable measures of child, adult and family functioning must be identified and adapted for specific subgroups of this diverse population. ACYF is interested in supporting doctoral-level students, through their sponsoring institutions, who are expecting to continue to conduct research in their professional careers and are now conducting or wish to conduct research on the Head Start population which will contribute to our knowledge about the best approaches for delivering services to diverse

populations. Doctoral-level graduate students who are representative of Head Start's diverse populations are particularly encouraged to apply.

Research projects include independent studies conducted by the graduate students or well-defined portions of a larger study currently being conducted by a principal investigator holding a faculty position and for which the graduate student will have primary responsibility.

Additional Requirements:

- o The applicant must enter into a partnership with a Head Start or Early Head Start program for the purposes of conducting the research.
- o The application must contain a letter from the Head Start program certifying that they have entered into a partnership with the applicant and the application has been reviewed and approved by the Policy Council.
- o The applicant must agree to attend one meeting of the research grantees each year and Head Start's Fifth National Research Conference in June of 2000. The budget should reflect travel funds for such purposes.
- o Considering the size of the grant, the university must waive indirect costs.
- o A university faculty member must serve as a mentor to the graduate student. The application must include a letter from the faculty member stating that s/he has reviewed and approved the proposal and a description of how the faculty member will monitor the student's work.
- o Contact information, including an e-mail address, for the graduate student applicant must be included in the proposal.
- o The proposal must be written by the graduate student.

Project Duration: The announcement for priority area 1.02 is soliciting applications for project periods up to two years. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for two years. It should be noted, that if the graduate student, on whose behalf the University is applying, expects to receive a doctorate by the end of the first one-year budget period, the applicant should request a one-year project period only. A second year budget-period will not be granted if the student has graduated by the end of the first year. Applications for continuation grants funded under these awards beyond the one-year budget period, but within the two-year project period, will be entertained in the subsequent year on a non-competitive basis, subject to availability of funds, satisfactory progress of the grantee

and a determination that continued funding would be in the best interest of the Government.

Federal Share of Project Costs: The maximum Federal share is not to exceed \$15,000 for the first 12-month budget period or a maximum of \$30,000 for a 2-year project period.

Matching Requirement: There is no matching requirement.

Anticipated Number of Projects to be Funded: It is anticipated that 10 projects will be funded. No individual university will be funded for more than one candidate unless 10 applications from different institutions do not qualify for support.

Competitive Criteria and General Instructions for Priority Areas 1.01 and 1.02

Project Description:

The following Uniform Project Description (UPD) has been approved by OMB under control number 0970-0139

PURPOSE

The project description provides a major means by which an application is evaluated and ranked to compete with other applications for available assistance. The project description should be concise and complete and should address the activity for which Federal funds are being requested. Supporting documents should be included where they can present information clearly and succinctly. Applicants are encouraged to provide information on their organizational structure, staff, related experience, and other information considered to be relevant. Awarding offices use this and other information to determine whether the applicant has the capability and resources necessary to carry out the proposed project. It is important, therefore, that this information be included in the application. However, in the narrative the applicant must distinguish between resources directly related to the proposed project from those that will not be used in support of the specific project for which funds are requested.

GENERAL INSTRUCTIONS

Cross-referencing should be used rather than repetition. ACF is particularly interested in specific factual information and statements of measurable goals in quantitative terms. Project descriptions are evaluated on the basis of substance, not length. Extensive exhibits are not required. (Supporting information concerning activities

that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant funded activity should be placed in an appendix.) Pages should be numbered and a table of contents should be included for easy reference.

INTRODUCTION

Applicants required to submit a full project description shall prepare the project description statement in accordance with the following instructions.

PROJECT SUMMARY/ABSTRACT

Provide a summary of the project description (a page or less) with reference to the funding request.

Results or Benefits Expected

Identify the results and benefits to be derived. For example, using a comprehensive review of the current literature, justify how the research questions and the findings will add new knowledge to the field or how it will improve services for children and families.

Approach

Outline a plan of action which describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors which might accelerate or decelerate the work and state your reason for taking the proposed approach rather than others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity in such terms as the *proportion of data collection expected to be completed*. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

Identify the kinds of data to be collected, maintained, and/or disseminated. Note that clearance from the U.S. Office of Management and Budget might be needed prior to a "collection of information" that is "conducted or sponsored" by ACF. List organizations, cooperating entities, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

Additional Information

Following is a description of additional information that should be placed in the appendix to the application.

STAFF AND POSITION DATA

Provide a biographical sketch for each key person appointed and a job description for each vacant key position. A biographical sketch will also be required for new key staff as appointed.

ORGANIZATION PROFILES

Provide information on the applicant organization(s) and cooperating partners such as organizational charts, financial statements, audit reports or statements from CPAs/Licensed Public Accountants, Employer Identification Numbers, names of bond carriers, contact persons and telephone numbers, child care licenses and other documentation of professional accreditation, information on compliance with Federal/State/local government standards, documentation of experience in the program area, and other pertinent information. Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit agency can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in Section 501(c)(3) of the IRS code, or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

DISSEMINATION PLAN

Provide a plan for distributing reports and other project outputs to colleagues and the public. Applicants must provide a description of the kind, volume and timing of distribution.

BUDGET AND BUDGET JUSTIFICATION

Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form. Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocability of the proposed costs.

GENERAL

The following guidelines are for preparing the budget and budget justification. Both Federal and non-Federal resources shall be detailed and justified in the budget and narrative justification. For purposes of preparing the budget and budget justification, "Federal resources" refers only to the ACF grant for which you are applying. Non-Federal resources are all other Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s), and last column, total budget. The budget justification should be a narrative.

PERSONNEL

Description: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known. For each staff person, provide the title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include the costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.

FRINGE BENEFITS

Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc.

TRAVEL

Description: Costs of project-related travel by employees of the applicant organization (does not include costs of consultant travel).

Justification: For each trip, show the total number of traveler(s), travel destination, duration of trip, per diem, mileage allowances, if privately owned vehicles will be used, and other transportation costs and subsistence allowances. Travel costs for key staff to attend ACF-sponsored workshops should be detailed in the budget.

EQUIPMENT

Description: Costs of tangible, non-expendable, personal property, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, an applicant may use its own definition of equipment provided that such equipment would at least include all equipment defined above.

Justification: For each type of equipment requested, provide a description of the equipment, the cost per unit, the number of units, the total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy or section of its policy which includes the equipment definition.

SUPPLIES

Description: Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information which supports the amount requested.

CONTRACTUAL

Description: Costs of all contracts for services and goods except for those which belong under other categories such as equipment, supplies, construction, etc. Third-party evaluation contracts (if applicable) and contracts with secondary recipient organizations, including delegate agencies and specific project(s) or businesses to be financed by the applicant, should be included under this category.

Justification: All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. If procurement competitions were held or if procurement without competition is being proposed, attach a list of proposed contractors, indicating the names of the organizations, the purposes of the contracts, the estimated dollar amounts, and the award selection process. Justify any anticipated procurement action that is expected to be awarded without competition and exceed the simplified acquisition threshold fixed at 41 USC 403(11) currently set at \$100,000. Recipients might be

required to make available to ACF pre-award review and procurement documents, such as request for proposals or invitations for bids, independent cost estimates, etc.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the required supporting information referred to in these instructions.

OTHER

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to insurance, food, medical and dental costs (noncontractual), professional services costs, space and equipment rentals, printing and publication, computer use, training costs, such as tuition and stipends, staff development costs, and administrative costs.

Justification: Provide computations, a narrative description and a justification for each cost under this category.

INDIRECT CHARGES

Description: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant Federal agency.

Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

TOTAL DIRECT CHARGES, TOTAL INDIRECT CHARGES, TOTAL PROJECT COSTS.

self explanatory

PART III

A CRITERIA

1. **Results or Benefits Expected** 25 points

- o The research questions are clearly stated.
- o The importance and relevance of the questions for low-income children's development and welfare.
- o The extent to which the research study makes a significant contribution to the knowledge base.
- o The extent to which the literature review is current and comprehensive and supports the need for the study, the questions to be addressed or the hypotheses to be tested.
- o The extent to which the questions that will be addressed or the hypotheses that will be tested are sufficient for meeting the stated objectives.

2. **Approach** 40 points

- o The extent to which the research design is appropriate and sufficient for addressing the questions of the study.
- o The extent to which child outcomes are a major focus of the study.
- o The extent to which the planned research specifies the measures to be used and the analyses to be conducted.
- o The extent to which the planned measures are appropriate and sufficient for the questions of the study.
- o The extent to which the planned measures and analyses both reflect knowledge and use of state-of-the-art measures and analytic techniques and advance the state-of-the art.
- o The extent to which the analytic techniques are appropriate for the question under consideration.
- o The extent to which the proposed sample size is sufficient for the study.
- o The scope of the project is reasonable for the funds available for these grants.
- o The extent to which the planned approach reflects sufficient input from and partnership with the Head Start or Early Head Start program.

3. **Staffing**

35 points

- o The extent to which the principal investigator and other key research staff possess the research expertise necessary to conduct the study as demonstrated in the application and information contained in their vitae.
- o For 1.01 the principal investigator(s) has earned a doctorate or equivalent in the relevant field and has first author publications in major research journals. For 1.02 the proposed graduate student holds a masters degree or equivalent and demonstrates sufficient training in research methods.
- o The extent to which the proposed staff reflect an understanding of and sensitivity to the issues of working in a community setting and in partnership with program staff and parents.
- o The adequacy of the time devoted to this project by the principal investigator and other key staff in order to ensure a high level of professional input and attention.
- o For graduate students, the adequacy of the supervision provided by the graduate student's mentor.

B. The Review Process

Applications received by the due date will be reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, will use the evaluation criteria listed in Part III of this announcement to review and score the applications. The results of this review are a primary factor in making funding decisions. ACYF may also solicit comments from ACF Regional Office staff and other Federal agencies. These comments, along with those of the expert reviewers, will be considered in making funding decisions. In selecting successful applicants, consideration may be given to other factors which at the time of funding, may cause ACYF to consider certain research topics of higher priority or give less priority to current or past principal investigators who were recipients of Head Start discretionary research funds, or for Priority Area 1.02, universities which are current grant recipients in behalf of graduate students.

PART IV INSTRUCTIONS FOR SUBMITTING APPLICATIONS

A. Availability of Forms

Eligible applicants interested in applying for funds must submit a complete application including the required forms included at the end of this program announcement in Appendix A. In order to be considered for a grant under this announcement, an application must be submitted on the Standard Form 424 (approved

by the Office of Management and Budget under Control Number 0348-0043). A copy has been provided. Each application must be signed by an individual authorized to act for the applicant and to assume responsibility for the obligations imposed by the terms and conditions of the grant award. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs (approved by the Office of Management and Budget under control number 0348-0040). Applicants must sign and return the Standard Form 424B with their application. Applicants must provide a certification concerning lobbying. Prior to receiving an award in excess of \$100,000, applicants shall furnish an executed copy of the lobbying certification (approved by the Office of Management and Budget under control number 0348-0046). Applicants must sign and return the certification with their application.

Applicants must make the appropriate certification of their compliance with the Drug-Free Workplace Act of 1988. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

Applicants must make the appropriate certification that they are not presently debarred, suspended or otherwise ineligible for award. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

Applicants must also understand that they will be held accountable for the smoking prohibition included within P.L. 103-227, Part C Environmental Tobacco Smoke (also known as The Pro-Children's Act of 1994). A copy of the Federal Register notice which implements the smoking prohibition is included with the forms. By signing and submitting the application, applicants are providing the certification and need not mail back the certification with the application.

All applicants for research projects must provide a Protection of Human Subjects Assurance as specified in the policy described on the HHS Form 596 (approved by the Office of Management and Budget under control number 0925-0418) in Appendix A. If there is a question regarding the applicability of this assurance, contact the Office for Protection from Research Risks of the National Institutes of Health at (301)-496-7041. Those applying for or currently conducting research projects are further advised of the availability of a Certificate of Confidentiality through the National Institute of Mental Health of the Department of Health and Human Services. To obtain more information and to apply for a Certificate of Confidentiality, contact the Division of Extramural Activities of the National Institute of Mental Health at (301) 443-4673.

B. Proposal Limits

The proposal should be double-spaced and single-sided on 8 1/2" x 11" plain white paper, with 1" margins on all sides. Use only a standard size font no smaller than 12 pitch throughout the proposal. All pages of the proposal (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered, beginning on the first page after the budget justification, the principal investigator contact information and the Table of Contents. The length of the proposal starting with page 1 as described above and including appendices and resumes must not exceed 60 pages. Anything over 60 pages will be removed and not considered by the reviewers. The project summary should not be counted in the 60 pages. Applicants should not submit reproductions of larger sized paper that is reduced to meet the size requirement. Applicants are requested not to send pamphlets, brochures, or other printed material along with their applications as these pose copying difficulties. These materials, if submitted, will not be included in the review process. In addition, applicants must not submit any additional letters of endorsement beyond any that may be required.

Applicants are encouraged to submit curriculum vitae using "Biographical Sketch" forms used by some government agencies.

Please note that applicants that do not comply with the requirements in the section on "Eligible Applicants" will not be included in the review process.

C. Checklist for a Complete Application

The checklist below is for your use to ensure that the application package has been properly prepared.

- One original, signed and dated application plus two copies.
- Attachments/Appendices, when included, should be used only to provide supporting documentation such as resumes, and letters of agreement/support.
- A complete application consists of the following items in this order:

Front Matter:

- o Cover Letter
 - o Table of Contents
 - o Contact information for Principal Investigator including telephone number, fax number and e-mail address. (In the case of graduate students, include this information for both the graduate student and the supervisor.)
 - o Project Abstract
- (1) Application for Federal Assistance (SF 424, REV. 4-92);
 - (2) Budget information-Non-Construction Programs (SF424A&B REV.4-92);
 - (3) Budget Justification, including subcontract agency budgets;

(4) Letter from the Head Start or Early Head Start program certifying that the program is a research partner of the respective applicant and that the Policy Council had reviewed and approved the application;

(5) Application Narrative and Appendices (not to exceed 60 pages);

(6) Proof of non-profit status. Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit organization can accomplish this by providing a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in Section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of incorporation of the State in which the corporation or association is domiciled.

(7) Assurances Non-Construction Programs;

(8) Certification Regarding Lobbying;

(9) Where appropriate, a completed SPOC certification with the date of SPOC contact entered in line 16, page 1 of the SF 424, REV.4-92;

(10) Certification of Protection of Human Subjects.

D. Due Date for the Receipt of Applications

1. Deadline: Mailed applications shall be considered as meeting an announced deadline if they are received on or before the deadline time and date at:

ACYF Operations Center
1225 Jefferson Davis Highway
Suite 415
Arlington, Virginia 22202

Application for Head Start Discretionary Research: (Head Start-University Partnerships [Priority Area 1.01], or Head Start Research Scholars [Priority Area 1.02]).

Applicants are responsible for mailing applications well in advance, when using all mail services, to ensure that the applications are received on or before the deadline time and date.

Applications handcarried by applicants, applicant couriers, or by overnight/express mail couriers shall be considered as meeting an announced deadline if they are received on or before the deadline date, between the hours of 8:00 a.m. and 5:00 p.m., Monday-Friday (excluding holidays) at the address above. (Applicants are cautioned that express/overnight mail services do not always deliver as agreed.) ACF cannot accommodate transmission of applications by fax or e-mail. Therefore, applications faxed or e-mailed to ACF will not be accepted regardless of date or time of submission and time of receipt.

2. Late applications: Applications which do not meet the criteria above are considered late applications. ACF shall notify each late applicant that its application will not be considered in the current competition.

3. Extension of deadlines: ACF may extend an application deadline for applicants affected by acts of God such as floods and hurricanes, or where there is widespread disruption of the mails. A determination to waive or extend deadline requirements rests with the Chief Grants Management Officer.

E. Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995, Public Law 104-13, the Department is required to submit to OMB for review and approval any reporting and record keeping requirements in regulations including program announcements. All information collections within this program announcement are approved under the following current valid OMB control numbers 0348-0043, 0348-0044, 0348-0040, 0348-0046, 0925-0418 and 0970-0139.

Public reporting burden for this collection is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

F. Required Notification of the State Single Point of Contact

This program is covered under Executive Order 12372, Intergovernmental Review of Federal Programs, and 45 CFR part 100, Intergovernmental Review of Department of Health and Human Services Program and Activities. Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

* All States and Territories except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, Washington, American Samoa and Palau have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs). Applicants from these twenty-four jurisdictions need take no action regarding E.O. 12372. Applicants for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions. Applicants must submit any required material to the SPOCs as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and

indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline to comment on proposed new or competing continuation awards.

SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations.

Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which may trigger the accommodate or explain rule.

When comments are submitted directly to ACF, they should be addressed to: Lynda Perez, Head Start Bureau, P.O. Box 1182, Washington, D.C. 20013, Attn: Head-Start University Partnerships or Head Start Research Scholars. A list of the Single Points of Contact for each State and Territory can be found on the web site <http://www.hhs.gov/progorg/grantsnet/laws-reg/spoq0695.htm>.

Dated: _____

James A. Harrell
Deputy Commissioner
Administration on Children, Youth
and Families